

B210A (Form 210A) (12/09)

IN THE UNITED STATES BANKRUPTCY COURT  
SOUTHERN DISTRICT OF NEW YORK

In re Lehman Brothers Holdings Inc.

Case No. 08-13555

**PARTIAL TRANSFER OF CLAIM OTHER THAN FOR SECURITY**

A CLAIM HAS BEEN FILED IN THIS CASE or deemed filed under 11 U.S.C. § 1111(a). Transferee hereby gives evidence and notice pursuant to Rule 3001(e)(2), Fed. R. Bankr. P., of the partial transfer, other than for security, of an undivided interest in the claim referenced in this evidence and notice.

Empyrean Investments, LLC

Name of Transferee

Citigroup Financial Products Inc.

Name of Transferor

Name and Address where notices to transferee should be sent:

Empyrean Investments, LLC  
Attn: Sterling Hathaway  
10250 Constellation Blvd.  
Suite 2950  
Los Angeles, CA 90067  
Telephone: 310-843-3070  
Fax: 310-843-4915  
E-mail: operations@empyrean.com

Court Claim # (if known): 17673

Amount of Claim Transferred: \$1,069,581.15

ISIN/CUSIP:

Blocking Number:

Name and address where transferee payments should be sent (if different from above):

I declare under penalty of perjury that the information provided in this notice is true and correct to the best of my knowledge and belief.

Date: August 21, 2018

By: 

Transferee/Transferee's Agent

*Penalty for making a false statement:* Fine of up to \$500,000 or imprisonment for up to 5 years or both. 18 U.S.C. §§ 152 & 3571

### EVIDENCE OF TRANSFER OF CLAIM

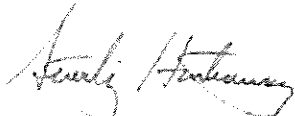
TO: Clerk, United States Bankruptcy Court, Southern District of New York

**Citigroup Financial Products Inc.**, with offices at 390 Greenwich Street, 4<sup>th</sup> Floor, New York, New York 10013, ATTN: Kenneth Keeley ("Seller"), for good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged and pursuant to the terms of an Assignment of Claim agreement dated as of the date hereof, does hereby certify that it has unconditionally and irrevocably sold, transferred and assigned to **Empyrean Investments, LLC**, with offices at 10250 Constellation Blvd., Suite 2950, Los Angeles, California 90067, ATTN: Sterling Hathaway (the "Buyer"), all right, title and interest in and to the claims of Seller against LEHMAN BROTHERS HOLDINGS INC. (and its affiliates) in the amount of \$1,069,581.15, docketed as Claim No., 17673 (the "Claim") in the United States Bankruptcy Court, Southern District of New York, Case No. 08-13888 (JMP) (jointly administered under Case No. 08-13555).

Seller hereby waives any notice or hearing requirements imposed by Rule 3001 of the Federal Rules of Bankruptcy Procedure, and stipulates that an order may be entered recognizing this transfer and sale of the Claim as an unconditional assignment and sale and Buyer herein as the valid owner of the Claim. You are hereby requested to make all future payments and distributions, and to give all notices and other communications, in respect to the Claim to Buyer.

IN WITNESS WHEREOF, dated as of the 21<sup>st</sup> day of August, 2018.

**EMPYREAN INVESTMENTS, LLC**

  
By: \_\_\_\_\_  
Name: Sterling Hathaway  
Title: Authorized Signatory

**CITIGROUP FINANCIAL PRODUCTS INC.**

By: \_\_\_\_\_  
Name:  
Title:

**EVIDENCE OF TRANSFER OF CLAIM**

TO: Clerk, United States Bankruptcy Court, Southern District of New York

**Citigroup Financial Products Inc.**, with offices at 390 Greenwich Street, 4<sup>th</sup> Floor, New York, New York 10013, ATTN: Kenneth Keeley ("Seller"), for good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged and pursuant to the terms of an Assignment of Claim agreement dated as of the date hereof, does hereby certify that it has unconditionally and irrevocably sold, transferred and assigned to **Empyrean Investments, LLC**, with offices at 10250 Constellation Blvd., Suite 2950, Los Angeles, California 90067, ATTN: Sterling Hathaway (the "Buyer"), all right, title and interest in and to the claims of Seller against LEHMAN BROTHERS HOLDINGS INC. (and its affiliates) in the amount of \$1,069,581.15, docketed as Claim No., 17673 (the "Claim") in the United States Bankruptcy Court, Southern District of New York, Case No. 08-13888 (JMP) (jointly administered under Case No. 08-13555).

Seller hereby waives any notice or hearing requirements imposed by Rule 3001 of the Federal Rules of Bankruptcy Procedure, and stipulates that an order may be entered recognizing this transfer and sale of the Claim as an unconditional assignment and sale and Buyer herein as the valid owner of the Claim. You are hereby requested to make all future payments and distributions, and to give all notices and other communications, in respect to the Claim to Buyer.

IN WITNESS WHEREOF, dated as of the 21<sup>st</sup> day of August, 2018.

**EMPYREAN INVESTMENTS, LLC**

By: \_\_\_\_\_  
Name:  
Title:

**CITIGROUP FINANCIAL PRODUCTS INC.**

By: \_\_\_\_\_  
Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
DocuSigned by:  
*Joelle Gavlick*  
240CDA98C9F64D3  
Joelle Gavlick - Authorized Signatory